

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

P02,0071

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

10/088668

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/DE00/03256

19 September 2000

21 September 1999

TITLE OF INVENTION "OPTICAL TRANSMISSION SYSTEM WITH DISPERSION COMPENSATION UNITS"

APPLICANT(S) FOR DO/EO/US Andreas Faerbert and Christian Scheerer

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of International Application as filed (35 U.S.C. 371(c)(2))
- a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
- b. ☐ has been transmitted by the International Bureau.
- c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
- a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
- b. ☐ have been transmitted by the International Bureau.
- c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
- d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (**PTO 1449, Prior Art, Search Report**).
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
(SEE ATTACHED ENVELOPE)
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☒ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
- a. ☒ Submission of Drawings - 3 sheets
- b. ☒ EXPRESS MAIL #EL843745900US dated March 20, 2002

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO \$890.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) ... \$670.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) \$760.00

Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO \$970.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$ 96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS

PTO USE ONLY

\$ 890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims

Number Filed

Number
Extra

Rate

Total Claims

13 - 20 =

0

X \$18.00

\$

Independent Claims

1 - 3 =

0

X \$84.00

\$

Multiple Dependent Claims

\$280.00 +

\$

TOTAL OF ABOVE CALCULATIONS =

\$ 890.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

SUBTOTAL =

\$ 890.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

+

TOTAL NATIONAL FEE =

\$ 890.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

**SEE ATTACHED
ENVELOPE****TOTAL FEES ENCLOSED =**

\$ 890.00

Amount to be
refunded

\$

charged

\$

- a. ☒ A check in the amount of \$890.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 501519. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Schiff Hardin & Waite
Pat nt Department
6600 Sears Tower
Chicago, Illinois 60606-6473
Customer Number 26574


SIGNATURE

James D. Hobart

NAME

24,149

Registration Number



1605 Rec'd PCT/PTO 20 MAR 2002

CERTIFICATE OF MAILING BY U.S. EXPRESS MAIL

"Express Mail" Mailing Label Number EL843745900US

Date of Deposit: March 20, 2002

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT
Commissioner of Patents and Trademarks
Washington, D.C. 20231**

Case Number: P02,0071

**International Application No.
PCT/DE00/03256**

**International Filing Date
19 September 2000**

**Priority Date Claimed
21 September 1999**


**Title: "OPTICAL TRANSMISSION SYSTEM WITH DISPERSION COMPENSATION
UNITS"**

Applicant(s): Andreas Faerbert and Christian Scheerer

Enclosed are the following documents:

International application as filed;
English translation of application and annexes;
Executed Declaration;
Preliminary Amendment;
Substitute Specification;
Marked-up Copy of Specification;
Letter Submitting Drawings - 3 sheets;
PTO 1390 in duplicate;
Filing Fee: \$890.00;
Postcard.

**Executed Assignment, PTO 1595 form, \$40.00
filing fee, postcard, in attached envelope to be
forwarded to the Assignment Branch.**



Signature of person mailing documents and fee

- 1 -

**IN THE UNITED STATES ELECTED OFFICE OF
THE UNITED STATES PATENT AND TRADEMARK OFFICE
UNDER THE PATENT COOPERATION TREATY - CHAPTER II**

SUBMISSION OF DRAWINGS

5 APPLICANT: Andreas Faerbert and Christian Scheerer

ATTORNEY

DOCKET NO.: P02,0071

SERIAL NO.:

EXAMINER:

FILING DATE:

ART UNIT:

10 INTERNATIONAL APPLICATION NO.: PCT/DE00/03256

INTERNATIONAL FILING DATE: 19 September 2000

INVENTION: "OPTICAL TRANSMISSION SYSTEM WITH DISPERSION
COMPENSATION UNITS"

BOX PCT

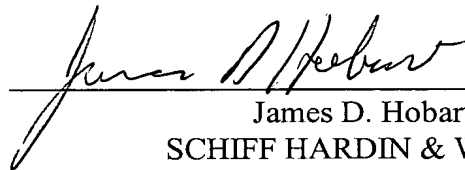
15 Assistant Commissioner for Patents
Washington, D.C. 20231

S I R:

Attached herewith are three sheets of Formal Drawings containing Figs. 1-3.

Respectfully submitted,

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 (Reg. No. 24,149)
James D. Hobart
SCHIFF HARDIN & WAITE

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DATED: March 20, 2002